

# **EXHIBIT A**

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE COMMISSION,

1:10-11427-LAP

Plaintiff,

- against -

INVEST BETTER, 2001,  
COLE A. BARTIROMO, and  
JOHN AND JANE DOES 1-10,

Defendants.

**EXEMPTION CLAIM FORM  
(NY CPLR § 5222-a)**

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff - Judgment Creditor,

- against -

COLE A. BARTIROMO,

Defendant - Judgment Debtor,

- and -

ROBINHOOD FINANCIAL, LLC,

Garnishee.

**EXEMPTION CLAIM FORM**

<b>Name and address of judgment creditor or attorney</b> <i>To be completed by judgment creditor or attorney.</i>	<b>Name and address of financial institution</b> <i>To be completed by judgment creditor or attorney</i>
<b>Address A</b> Elizabeth Reilly Goody, Senior Counsel Securities and Exchange Commission New York Regional Office 200 Vesey Street, Room 400 New York, New York 10281-1022	<b>Address B</b> <b>ROBINHOOD FINANCIAL, LLC</b> 3200 Ash Street Palo Alto, CA 94306

Directions: To claim that some or all of the funds in your account are exempt, complete both copies of this form, and make one copy for yourself. Mail or deliver one form to **Address A** and one form to **Address B** within twenty days of the date on the envelope holding this notice.

\*\* If you have any documents, such as an award letter, an annual statement from your pension, paystubs, copies or checks or bank records showing the last two months of account activity, include copies of the documents with this form. Your account may be released more quickly.

See attached letter

Page 2b - 2c

Exemption Claim DetailsRobinhood Account # 1922

A portion of the funds deposited & held in Robinhood Account # 1922 are from NewsBall.com / Youtube video monetization, as displayed on **Page 3a**.

A portion of the funds deposited & held in Robinhood Account # 1922 are from unemployment insurance payments, as displayed on **Page 3b**.

A portion of the funds deposited & held in Robinhood Account # 1922 belong to my former boss Sean Hwang of South Korea, owner of LABC USA where I worked. He believed in my drive & passion, said my energy & qualities were very rare in a US worker, & wanted to hire me. He valued my savviness & we both relate to passionately loving Blackberry phones & believing in the company. Not being a US citizen, he wanted me to invest in Blackberry for him, since I was always talking about Blackberry at work & he knew I was always buying more shares. Throughout 2016, when I would deposit to buy another chunk of shares, he would give me cash to invest more for him too. This was a long-term investment, & he was to be paid back, minus taxes I incurred, once Blackberry reached \$30 a share, or bought out. He trusts me completely, being 1 of 3 employees at LABC, & taking me to CES in Las Vegas in 2016, & sitting in at a dinner with Amazon executives for a partnership, among other events as displayed on **Page 3c**. A declaration from Mr. Hwang will be prepared if necessary.

I filed bankruptcy in 2009, & all debts were discharged in 2010. **See Pages 3d**. The SEC was listed as a creditor, along with the IRS & FTB. Even though debts for most taxes & civil penalties are not dischargeable, the IRS & Franchise Tax Board both honored the discharge of debts given the exceptional factors involved, but the SEC has not. I was an underage minor who was alleged to have committed civil securities violations in 2000-2001, & given the uniquely exceptional circumstances, I reasonably believe that 3 issues have not been properly litigated if representation is retained: 1) whether a child can be held financially responsible to pay an extreme civil penalty 2) does the unique debt of a minor's actions remain valid after a bankruptcy discharge, & 3) whether this many years after a non-restitution civil judgment made against the actions of a minor can still be enforced without at least a mediator or court re-evaluating the original judgment to determine its fairness of undue hardship against a now much older defendant. This country has changed, & has become sympathetic to addictions & mental illness. I was addicted to internet gambling at 14 in 2000, & a court should re-visit a life-changing 2005 judgment against a minor's mistakes in light of 100+ Gambler's Anonymous meetings from 2006-2009, followed by a 2009 bankruptcy, a 2012 motion revelation that mid six-figures of surplus funds were left over for the Treasury department to receive after all claimants were reimbursed, & most recently this country's sympathetic new views on addictions & mental illness. Despite all this, the SEC still torments me.

2 years ago, I filed a FOIA request with the SEC, inquiring about my difficulties in finding a brokerage firm that would allow my ROTH IRA & individual stock account. **See Page 3f**. The SEC called me, & we discussed the issues relating to the civil penalty being to blame for brokerages not wanting to do business with me, but at no time was the issue of repayment or collections or garnishment threatened or discussed. The SEC was aware of my accounts at that time, as I was acting in good faith, being transparent with my accounts out there in the open, & operating in my name. I am confused at this *Restraining Notice to Garnishee - Robinhood* because the years of silence did not suggest this, nor have I acted in a way that is deserving of this.

2b

Further adding to the confusion as to when & how I was expected to pay this debt is due to the last collection notice in 2010 stating over \$2.8MILLION was owed. **See Page 3e.** This would make any middle class nobody like me lose all hope to ever even attempt to pay such an escalating amount.

Additionally, the \$219,284 of profit made in the past month is income, as 2017 was the first year that stock investing was my main source of income. The Robinhood account balance is subject to a large amount of taxes, & is the profits not my income, which 90% of is exempt from this garnishment?



Finally, I have reached out to Judge Barbara Jones, who imposed the civil penalty in 2005, & she is receptive to having a discussion with me, & there is the hope that she will support the reduction / setting aside of her judgment. **See Page 3g.** Until this possibility is exhausted, & the questions of bankruptcy involving a minor's liability to continue to owe an undue hardship civil penalty decades later, shares should not be liquidated & garnished, as it will cause further financial harm than has already happened due to Blackberry's continued expected announcements & rise of share price.

Based on the above, I believe some of the funds are exempt, & concerns remain of the *Restraining Notice to Garnishee – Robinhood* beyond the disgorgement amount of \$63,603.25.



Cole Bartiromo

1/6/18

2C

I state that my account contains the following type(s) of funds (*check all that apply*):

<input type="checkbox"/> Social security	<input checked="" type="checkbox"/> Income earned in the last 60 days (90% of which is exempt)
<input type="checkbox"/> Social security disability (SSD)	<input type="checkbox"/> Child support
<input type="checkbox"/> Supplemental security income (SSI)	<input type="checkbox"/> Spousal support or maintenance (alimony)
<input type="checkbox"/> Public assistance	<input type="checkbox"/> Worker's compensation
<input type="checkbox"/> Wages while receiving SSI or Public Assistance	<input type="checkbox"/> Railroad retirement or black lung benefits
<input type="checkbox"/> Veterans benefits	<input type="checkbox"/> Other (describe exemption): * Not all funds are mine * Bankruptcy Discharge * FOIA Request
<input checked="" type="checkbox"/> Unemployment benefits	
<input type="checkbox"/> Payments from pensions and retirement accounts	

I request that any correspondence to me regarding my claim be sent to the following address:

*Fill in your complete address.*

*Cole Bartiromo  
22025 Teresa  
Mission Viejo, CA 92692*

*\* Discrepancy of civil penalty*

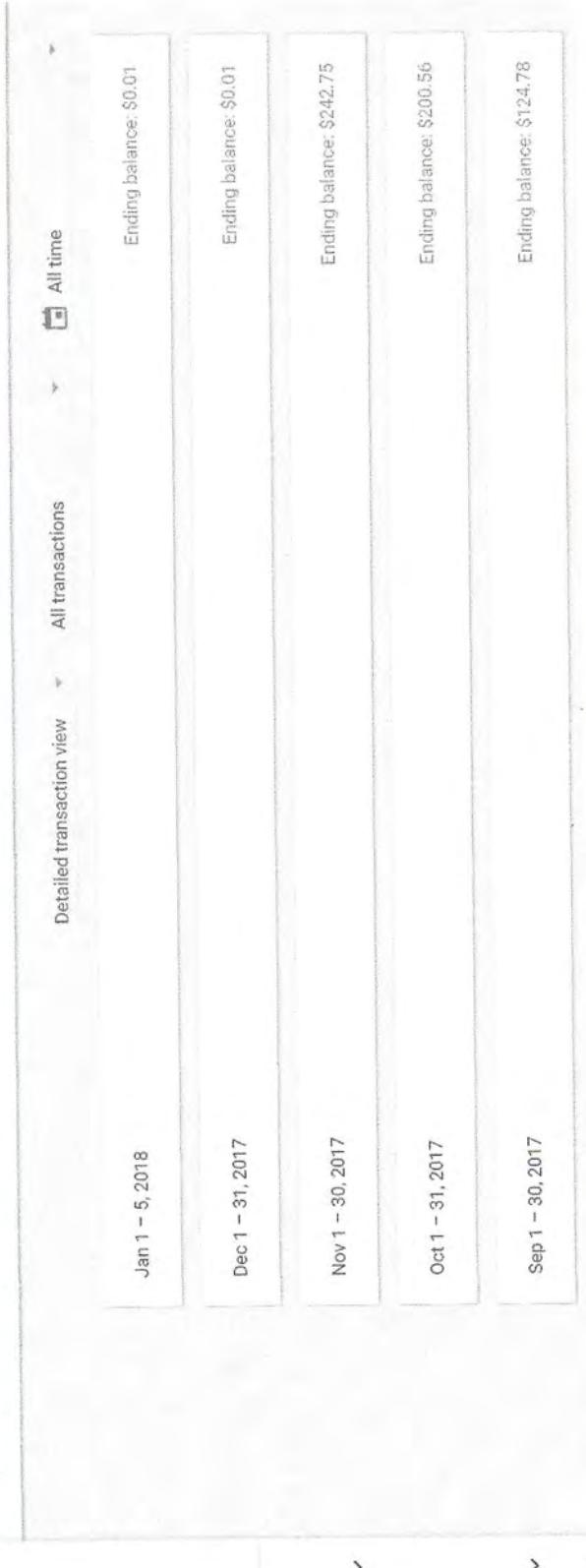
*\* Judge Barbara Jones*

I certify under penalty of perjury that the above statement is true to the best of my knowledge and belief.

Date:

*1/5/18*

*Cole Bartiromo*  
\_\_\_\_\_  
Signature of Judgment Debtor



Payments > Transactions

Jan 1 - 5, 2018

Ending balance: \$0.01

Dec 1 - 31, 2017

Ending balance: \$0.01

Nov 1 - 30, 2017

Ending balance: \$242.75

Oct 1 - 31, 2017

Ending balance: \$290.56

Sep 1 - 30, 2017

Ending balance: \$124.78

Aug 1 - 31, 2017

Ending balance: \$124.78

July 1 - 31, 2017

Ending balance: \$124.78

June 1 - 30, 2017

Ending balance: \$124.78

May 1 - 31, 2017

Ending balance: \$124.78

April 1 - 30, 2017

Ending balance: \$124.78

March 1 - 31, 2017

Ending balance: \$124.78

February 1 - 28, 2017

Ending balance: \$124.78

January 1 - 31, 2017

Ending balance: \$124.78

Income earned from NewsBall.com /Youtube payments which was put into shares of BB.

3a.

UI CENTER SAN DIEGO  
PO BOX 120631  
SAN DIEGO CA 92112-0631



Mail Date: 04/20/2016

SSN: 2639

COLE A BARTIROMO  
22025 TERESA  
MISSION VIEJO CA 92692-1138

EDD Phone Numbers:  
 English 1-800-300-5616  
 Spanish 1-800-326-8937  
 Cantonese 1-800-547-3506  
 Mandarin 1-866-303-0706  
 Vietnamese 1-800-547-2058  
 TTY (nonvoice) 1-800-815-9387  
 website: [www.edd.ca.gov](http://www.edd.ca.gov)

## NOTICE OF UNEMPLOYMENT INSURANCE AWARD

1. Claim Beginning Date:	04/03/2016	2. Claim Ending Date:	04/01/2017
3. Maximum Benefit Amount:	\$8,112.00	4. Weekly Benefit Amount:	\$312
5. Total Wages:	\$30,600.00	6. Highest Quarter Earnings:	\$8,100.00
7. This item does not apply to your claim. For more information, see item 7 on the reverse.			
8. You must look for full time work each week. For more information, refer to the handbook, <i>A Guide to Benefits and Employment Services</i> , DE 1275A, available online at <a href="http://www.edd.ca.gov/forms/">www.edd.ca.gov/forms/</a> .			
9. This item does not apply to your claim.			
10. This Claim Award is calculated based on the Standard Base Period.			

11. Employee Name:	12. Employee Wages for the Quarter Ending:				13. Employer Name:
	MAR 15	JUN 15	SEP 15	DEC 15	
C BARTIR	\$ 7,500.00	\$ 7,500.00	\$ 7,500.00	\$ 8,100.00	LAB C USA
14. TOTALS:	\$ 7,500.00	\$ 7,500.00	\$ 7,500.00	\$ 8,100.00	

Unemployment insurance was received & put  
into shares of BB.

3b



ME AT CES IN LAS VEGAS, 2016, WITH MY BOSSES



ME WITH MY BOSSES, MEETING WITH AMAZON EXECUTIVES FOR A PARTNERSHIP, 2016

**United States Bankruptcy Court  
Central District Of California**

3420 Twelfth Street, Riverside, CA 92501-3819

**DISCHARGE OF DEBTOR**

**DEBTOR(S) INFORMATION:**

Cole Anthony Bartiromo

**BANKRUPTCY NO.**  
6:08-bk-24505-PC

Last four digits of Social-Security or  
Individual Taxpayer-Identification (ITIN)  
No(s)., (if any): xxx-xx-2639

**CHAPTER 7**

Employer Tax-Identification (EIN)  
No(s)., (if any): N/A

dba Invest Better 2001

**Address:**  
11711 Collett Ave. #532  
Riverside, CA 92505

It appearing that the debtor is entitled to a discharge, IT IS ORDERED: The debtor is granted a discharge under section 727 of title 11, United States Code, (the Bankruptcy Code).

FOR THE COURT,

Dated: February 3, 2009

**Jon D. Ceretto**  
Clerk of the Court

**SEE THE BACK OF THIS ORDER FOR IMPORTANT INFORMATION**

*\* Set forth all names, including trade names, used by the debtor(s) within the last 8 years. For joint debtors, set forth the last four digits of both social-security numbers or individual taxpayer-identification numbers.*

## EXPLANATION OF BANKRUPTCY DISCHARGE IN A CHAPTER 7 CASE

This court order grants a discharge to the person named as the debtor. It is not a dismissal of the case and it does not determine how much money, if any, the trustee will pay to creditors.

### Collection of Discharged Debts Prohibited

The discharge prohibits any attempt to collect from the debtor a debt that has been discharged. For example, a creditor is not permitted to contact a debtor by mail, phone, or otherwise, to file or continue a lawsuit, to attach wages or other property, or to take any other action to collect a discharged debt from the debtor. [*In a case involving community property:* There are also special rules that protect certain community property owned by the debtor's spouse, even if that spouse did not file a bankruptcy case.] A creditor who violates this order can be required to pay damages and attorney's fees to the debtor.

However, a creditor may have the right to enforce a valid lien, such as a mortgage or security interest, against the debtor's property after the bankruptcy, if that lien was not avoided or eliminated in the bankruptcy case. Also, a debtor may voluntarily pay any debt that has been discharged.

### Debts That are Discharged

The chapter 7 discharge order eliminates a debtor's legal obligation to pay a debt that is discharged. Most, but not all, types of debts are discharged if the debt existed on the date the bankruptcy case was filed. (If this case was begun under a different chapter of the Bankruptcy Code and converted to chapter 7, the discharge applies to debts owed when the bankruptcy case was converted.)

### Debts That are Not Discharged

Some of the common types of debts which are not discharged in a chapter 7 bankruptcy case are:

- a. Debts for most taxes;
- b. Debts incurred to pay nondischargeable taxes;
- c. Debts that are domestic support obligations;
- d. Debts for most student loans;
- e. Debts for most fines, penalties, forfeitures, or criminal restitution obligations;
- f. Debts for personal injuries or death caused by the debtor's operation of a motor vehicle, vessel, or aircraft while intoxicated;
- g. Some debts which were not properly listed by the debtor;
- h. Debts that the bankruptcy court specifically has decided or will decide in this bankruptcy case are not discharged;
- i. Debts for which the debtor has given up the discharge protections by signing a reaffirmation agreement in compliance with the Bankruptcy Code requirements for reaffirmation of debts; and
- j. Debts owed to certain pension, profit sharing, stock bonus, other retirement plans, or to the Thrift savings Plan for federal employees for certain types of loans from these plans.

This information is only a general summary of the bankruptcy discharge. There are exceptions to these general rules. Because the law is complicated, you may want to consult an attorney to determine the exact effect of the discharge in this case.

**CERTIFICATE OF NOTICE**District/Off: 0973-6  
Case: 08-24505User: testradaC  
Form ID: b18Page 1 of 1  
Total Served: 32

Date Rcvd: Feb 03, 2009

The following entities were served by first class mail on Feb 05, 2009.

db +Cole Anthony Bartiromo, 11711 Collett Ave. #532, Riverside, CA 92505-3771  
 tr +Robert Whitmore, 3600 Lime St Ste 611, Riverside, CA 92501-0938  
 smg Employment Development Dept., Bankruptcy Group MIC 92E, P.O. Box 826880, Sacramento, CA 94280-0001  
 ust +United States Trustee (RS), 3685 Main Street, Suite 300, Riverside, CA 92501-2804  
 22332145 +A. LAVAR TAYLOR, APC, 6 HUTTON CENTRE DR., STE. 880, Santa Ana, CA 92707-5745  
 22332146 +AIS SERVICES, 50 CALIFORNIA ST., STE. 1500, San Francisco, CA 94111-4619  
 22332148 BANK OF AMERICA, 4060 OGLETOWN STAN, DE5-019-03-07, Newark, DE 19713  
 22332149 +BARTIROMO, COLE ANTHONY, 11711 COLLETT AVE. #532, RIVERSIDE, CA 92505-3771  
 22332150 +CONSUMER CREDIT SERVICE, 1501 S. COMMERCE ST., Las Vegas, NV 89102-2703  
 22332151 +ER SOLUTIONS, INC, 500 SW 7TH ST., BLD A 100, Renton, WA 98057-2983  
 22332160 MACY'S, 911 DUKE BLVD., Mason, OH 45040  
 22332162 +NORTHWEST FINANCIAL, POB 5943, Sioux Falls, SD 57117-5943  
 22332164 +PROFESSIONAL COLLECTION, POB 45405, Los Angeles, CA 90045-0405  
 22332165 +SALLIE MAE SERVICING, POB 9500, Wilkes Barre, PA 18773-9500  
 22332166 U.S. SECURITIES & EXCHANGE COM, 3 WORLD FINANCIAL CENTER, STE. 4300, New York, NY 10281-1022  
 22332168 +WELLS FARGO, 800 WALNUT ST, Des Moines, IA 50309-3891  
 22332167 +WELLS FARGO, POB 5445, Portland, OR 97228-5445  
 22332169 +WF fin, 3201 n. 4th ave., Sioux Falls, SD 57104-0700

The following entities were served by electronic transmission on Feb 04, 2009.

aty Fax: 951-782-7497 Feb 04 2009 04:49:24. Judith Runyon, POB 231, Riverside, CA 92502-0231  
 tr +EDI: QRWHITMORE.COM Feb 03 2009 22:13:00 Robert Whitmore, 3600 Lime St Ste 611, Riverside, CA 92501-0938  
 smg EDI: CALTAX.COM Feb 03 2009 22:13:00 Franchise Tax Board, ATTN: Bankruptcy, P.O. Box 2952, Sacramento, CA 95812-2952  
 cr EDI: RMSC.COM Feb 03 2009 22:08:00 GE Money Bank, c/o Recovery Management Systems Corp, Ramesh Singh, 25 SE 2nd Avenue Suite 1120, Miami, FL 33131-1605  
 22332147 EDI: ACCE.COM Feb 03 2009 22:13:00 ASSET ACCEPTANCE LLC, POB 2036, WARREN, MI 48090-2036  
 22332152 +EDI: CALTAX.COM Feb 03 2009 22:13:00 FRANCHISE TAX BOARD, P.O.BOX 2952, Sacramento, CA 95812-2952  
 22332153 +EDI: RMSC.COM Feb 03 2009 22:08:00 GEMB/JCP, POB 981131, El Paso, TX 79998-1131  
 22332154 +EDI: RMSC.COM Feb 03 2009 22:08:00 GEMB/MERVYN'S, POB 981064, El Paso, TX 79998-1064  
 22332155 +EDI: HFC.COM Feb 03 2009 22:08:00 HSBC, POB 15521, Wilmington, DE 19850-5521  
 22332156 +EDI: HFC.COM Feb 03 2009 22:08:00 HSBC NV, POB 19360, Portland, OR 97280-0360  
 22332157 EDI: IRS.COM Feb 03 2009 22:13:00 INTERNAL REVENUE SERVICE, INSOLVENCY GROUP 3-MAILSP 5503, 24000 AVILA RD., Laguna Niguel, CA 92677  
 22332159 +EDI: RESURGENT.COM Feb 03 2009 22:13:00 LVNV FUNDING, POB 10497, Greenville, SC 29603-0497  
 22332161 +EDI: MID8.COM Feb 03 2009 22:13:00 MIDLAND CREDIT MANAGEMENT, 8875 AERO DR., STE. 2, San Diego, CA 92123-2251  
 22332163 +EDI: PHINPLAZA.COM Feb 03 2009 22:13:00 PLAZA ASSOCIATES, 7 PENN PLAZA, New York, NY 10001-3900  
 22671892 EDI: RECOVERYCORP.COM Feb 03 2009 22:13:00 Recovery Management Systems Corporation, 25 S.E. 2nd Avenue, Suite 1120, Miami, FL 33131-1605  
 22332167 +EDI: WFFC.COM Feb 03 2009 22:13:00 WELLS FARGO, POB 5445, Portland, OR 97228-5445  
 TOTAL: 16

\*\*\*\*\* BYPASSED RECIPIENTS (undeliverable, \* duplicate) \*\*\*\*\*  
 22332158\* JUDITH RUNYON, P.O.BOX 231, RIVERSIDE, CA 92502-0231

TOTALS: 0, \* 1

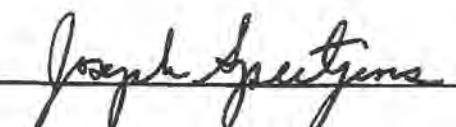
Addressess marked '+' were corrected by inserting the ZIP or replacing an incorrect ZIP.  
 USPS regulations require that automation-compatible mail display the correct ZIP.

I, Joseph Speetjens, declare under the penalty of perjury that I have served the attached document on the above listed entities in the manner shown, and prepared the Certificate of Notice and that it is true and correct to the best of my information and belief.

Meeting of Creditor Notices only (Official Form 9): Pursuant to Fed. R. Bank. P. 2002(a)(1), a notice containing the complete Social Security Number (SSN) of the debtor(s) was furnished to all parties listed. This official court copy contains the redacted SSN as required by the bankruptcy rules and the Judiciary's privacy policies.

Date: Feb 05, 2009

Signature:



3d



Cole B &lt;colesq10@gmail.com&gt;

**FW: Request for Document from Bartiromo, Cole**

1 message

foiapa <foiapa@sec.gov>  
To: Help <Help@sec.gov>  
Cc: "colesq10@gmail.com" <colesq10@gmail.com>, foiapa <foiapa@sec.gov>

Thu, Mar 3, 2016 at 5:09 AM

Dear Help,

The FOIA Office has received the below email from Mr. Cole Bartiromo. We are forwarding this email to your office for direct assistance. A courtesy copy of this email will also be sent to the originator.

Thank You,  
Office of FOIA Services

-----Original Message-----

From: 7:02 PM  
To: foiapa  
Subject: Request for Document from Bartiromo, Cole

Cole Bartiromo  
22025 Teresa  
Mission Viejo, California 92692  
United States

9494383838  
colesq10@gmail.com

Request:

COMP\_NAME: Cole Bartiromo

DOC\_DATE: 2001 - 2010

TYPE: Other (fully describe)

COMMENTS: I want to know what the SEC has posted on my file to interfere with my ability to invest in the stock market & to maintain a ROTH IRA account with an online brokerage as custodian of my retirement.

I want to know when the statute of limitations expire on the blacklist that the SEC has successfully managed to get imposed on me, despite 16 years passing since any alleged wrong doing with a stock market account.

FEE\_AUTHORIZED: Other Amount \$: 10

FEE\_WAIVER\_REQUESTED: No

EXPEDITED\_SERVICE\_REQUESTED: No

3e.

October 14, 2010



003243

COLE A. BARTIROMO  
22025 TERESA  
MISSION VIEJO CA 92692-1138

Re: Diversified Collection Services, Inc.  
Account Number: 90205242275  
Treasury Acct No: 2010184910A  
Balance: \$2802522.53 as of October 14, 2010  
As of the date of this letter, you owe the balance reflected. Because of interest and other charges that may vary from day to day, the amount due on the day you pay may be greater. Hence, if you pay the amount shown above, an adjustment may be necessary after we receive your check, in which event we will inform you. For further information on your balance, write to DCS or call toll-free number shown above.

#### Claim of: SECURITIES & EXCHANGE COMMISSION

This letter serves as formal notice that your delinquent debt has been placed with Diversified Collection Services, Inc. (DCS), a private collection firm, contracted by the U.S. Department of the Treasury, Financial Management Service (FMS) to begin collection efforts on your delinquent balance owed to SECURITIES & EXCHANGE COMMISSION.

Due to your failure to repay this obligation, the entire unpaid balance of your debt is now due and payable. Your delinquent debt(s) may have been reported to all national credit bureaus which could inhibit your ability to obtain future credit. Additionally, the Department of the Treasury and other government agencies may be authorized to withhold or offset government payments you receive such as income tax refunds, federal retirement benefits, and/or financial assistance, if your debt is not paid. Further, should you continue to refuse to resolve this debt, your debt may be reviewed for possible referral by FMS to the U.S. Department of Justice for legal action.

You are legally responsible to repay this debt, including any accrued interest, penalty charges, fees and collection costs. Under federal law, you are liable for the costs incurred by FMS to collect your debt. These costs include fees paid by FMS to DCS. The "Total Balance" shown above includes the amount needed to satisfy your entire debt including the collection fees.

To avoid further collection action, you must either arrange to repay this debt by sending payment in full (payable to the U.S. Department of the Treasury, along with the attached coupon in the return envelope provided) or contacting your DCS account representative, toll-free at 888-310-2006 or via e-mail at [treasury@dcswins.com](mailto:treasury@dcswins.com). This is an attempt to collect a debt by a debt collector, and any information obtained may be used for that purpose.

#### SEE THE REVERSE SIDE FOR THE FEDERAL VALIDATION NOTICE AND OTHER REQUIRED STATE COMPLIANCE INFORMATION.

LR084/TR03 \*5-31079458\*

#### PLEASE DETACH THIS STUB AND RETURN WITH PAYMENT

U.S. Department of the Treasury - FMS  Check here for change of address and complete the reverse side.

Identification Number: 2010184910A Due Date: October 14, 2010

Please check payment type: Amount Due: \$2802522.53

Check / Money Order	<input type="checkbox"/>	American Express	<input type="checkbox"/>	Amount Enclosed: _____
MasterCard	<input type="checkbox"/>	Diners Club	<input type="checkbox"/>	Make Check payable to: U.S. Department of the Treasury
VISA	<input type="checkbox"/>			
Discover	<input type="checkbox"/>			

3f

Jones, Barbara  
to me ▾

12/22/17 (12 days ago)

Dear Mr. Bartiromo,

I have read your email and I will certainly speak with you about the issues you raise. I am currently starting vacation for the holidays but would be able to have a call with you on -or during the week of - January 8. As you know, I am no longer on the bench and without looking further into this I cannot say what, if anything, I am able to do for you. In any event, if you send me a date and time convenient to you I will be happy to take your call. Also, I should warn you that although I am now a practicing lawyer, any conversation we have may not be protected by the attorney client privilege, as I am not representing you.

Sincerely yours,  
Barbara Jones

**From:** Cole B [mailto:[cole910@gmail.com](mailto:cole910@gmail.com)]  
**Sent:** Friday, December 22, 2017 12:39 AM  
**To:** Jones, Barbara <[barbara.jones@bracewell.com](mailto:barbara.jones@bracewell.com)>  
**Subject:** Cole Bartiromo

Your Honor,

In 2001, the SEC brought my case before you. I was a 17 year old in High School. In 2005, while in federal prison, you imposed a \$1.2 MILLION dollar civil penalty against me.

Today, I am a 33 year old who is still trying to move on with my life, but with interest now making the judgment in the millions of dollars, I feel like I am living a life sentence of a sub-human existence & terror from the SEC.

I am reaching out to you to beg for mercy in any form you can give - even if it is just a letter of recommendation that I can file to the court asking for the judgment to be set aside, or maybe the SEC will listen to you?

Nobody in my life can understand why I am still being dragged through hell for mistakes I made when I was underage & a teenager - all fueled by a gambling addiction that was never brought to your attention by my lawyers Morrison & Foerster. In the last few years, this country has become sympathetic to mental illness & addictions, & I keep wondering what you would have done with me if my lawyers 1) had me evaluated by a therapist & informed you of my addiction 2) if I was allowed to speak to you, 3) if I was allowed to cooperate with the SEC by answering whatever

3  
cg